

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: LENKNER et al.)
Application No.:) Group Art Unit: n/a
Filed: January 14, 2004) Examiner: n/a
For: METHOD TO MANUFACTURE SPECTRAL PIGMENT

Mail Stop PATENT APPLICATION
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

SIR:

The following are included with this Information Disclosure Statement:

- [X] A. PTO/SB/08**
- [] B. CERTIFICATION**
(37 C.F.R. 1.97(c)-before final Office Action or allowance)
- [] C. \$180.00 FEE PAYMENT**
(37 C.F.R. 1.97(c)-before final Office Action or allowance)
- [] D. \$180.00 PETITION, CERTIFICATION & PETITION FEE PAYMENT**
(37 C.F.R. 1.97(d)-before issue fee payment)

The following are submitted in the above-identified application in compliance with 37 CFR 1.98:

- [] I.** A copy of each listed U.S. Patent and U.S. Patent application publication [1.98(a)(2)(i)].
- [X] II.** A copy of each listed foreign patent and/or published foreign patent application. For each listed foreign patent and/or published foreign patent application [1.98(a)(2)]:
 - [X] a)** the English language version or an English translation if not published in English, if available (see PTO-1449)[1.98(a)(3)]; and/or

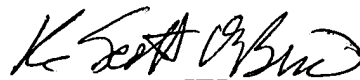
- ☐ (b) U.S. counterpart patents or English language equivalents of the foreign patents or published foreign patent applications (see PTO-1449); and/or
- ☐ (c) a concise explanation of the relevance of the listed patents, publications or other information (see PTO-1449, foreign search report or other, attached), as it is presently understood by the person signing this disclosure, since no English translation is currently available[1.98(a)(3)].
- ☐ III. A copy of each listed publication, other than published foreign applications. For each listed publication [1.98(a)(2)]:
 - ☐ (a) an English translation, if available, when the original publication is not in the English language (see PTO-1449)[1.98(a)(3)];
 - ☐ (b) a concise explanation of the listed publications (see PTO-1449), as it is presently understood by the person signing this disclosure, since no English translation is currently available [1.98(a)(3)].
- ☐ IV. For any other listed information, a copy of the information or that portion which caused it to be listed (see PTO-1449)[1.98(a)(2)(iii)].
- ☐ V. Each listed U.S. Patent, Publication or other information that was previously cited by or submitted to the Office in a prior application, which application is relied upon for an earlier filing date under 35 U.S.C. § 120 [1.98(d)].
- ☒ VI. Copies of each listed U.S. Patent and U.S. Patent application publication are not being submitted herewith pursuant to a waiver of 37 CFR 1.98(a)(2)(i) by the USPTO on July 11, 2003 for applications filed after June 30, 2003.

This information is submitted in the above-identified application in compliance with 37 C.F.R. 1.97 because:

- ☒ 1. This information disclosure is submitted within three months of the filing date of the application, or before the mailing date of the first office action on the merits of the application [1.97(b)].
- ☐ 2. This information disclosure is submitted before the mailing date of a final action in this application under 1.113[1.97(c)] and the requisite statement or fee is provided (see items 6 or 7 below).
- ☐ 3. This information disclosure is submitted before the mailing date of a notice of allowance under 1.311 [1.97(c)] and the requisite statement or fee is provided (see items 6 or 7 below).

- ☐ 4. This information disclosure is submitted after the mailing date of a final action under 1.113 [1.97(d)] and the requisite statement and fee is provided (see items 6 and 8 below).
- ☐ 5. This information disclosure is submitted after the mailing date of a notice of allowance under 1.311, but before the payment of the issue fee [1.97(d)] and the requisite statement and fee is provided (see items 6 and 8 below).
- ☐ 6. This information disclosure statement is submitted with the statement required for items 2, 3, 4 or 5 above [1.97(c), (d), (e)]:
- ☐ I, , hereby state the following:
- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this information disclosure was known to any individual designated in 1.56(c) more than three months prior to the filing of this information disclosure statement.
- ☐ 7. This information disclosure statement is submitted with the fee of \$180 set forth in 1.17(p) [see items 2 and 3 above]. Please charge this fee and any other fees associated with this application to Deposit Account No. 50-1059. (Please note, no fee is required for items 2 and 3 above if the Item 6 statement is provided).
- ☐ 8. Please charge this fee and any other fees associated with this application to Deposit Account No. 50-1059.

Respectfully submitted,



K. Scott O'Brian
Reg. No. 42,946

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

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of

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Complete if Known

Application Number	
Filing Date	January 14, 2004
First Named Inventor	LENKNER et al.
Group Art Unit	n/a
Examiner Name	n/a
Attorney Docket Number	13DV-14289 (07783-0168)

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
	A	US-6,398,999 B1	06-04-2002	Josephy et al.	
	B	US- 6,376,018 B1	04-23-2002	Kittler, Jr.	
	C	US- 6,284,032 B2	09-04-2001	Andes et al.	
	D	US- 6,270,841 B1	08-07-2001	Mikhael et al.	
	E	US- 6,270,840 B1	08-07-2001	Weinert	
	F	US- 6,238,472 B1	05-29-2001	Andes et al.	
	G	US- 6,156,379	12-05-2000	Terada et al.	
	H	US- 5,851,679	12-22-1998	Stowell et al.	
	I	US- 5,753,023	05-19-1998	Bishop	
	J	US- 5,740,287	04-14-1998	Scalora et al.	
	K	US- 5,401,306	03-28-1995	Schmid et al.	
	L	US- 4,879,140	11-07-1989	Gray et al.	
	M	US- 4,434,010	02-28-1984	Ash	
	N	US- 4,168,986	09-25-1979	Venis, Jr.	
	O	US- 3,374,105	03-19-1968	Bolomey	
	P	US- 2002/0041047 A1	04-11-2002	Josephy et al.	
		US-			
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
	Q	EP 0227423 A2	07-01-1987	Optical Coating Laboratory, Inc.		
	R	WO 0184224 A2	11-08-2001	The Board of Trustees of the Leland Stanford Jr. University		
	S	EP 0081599 A1	06-22-1983	Revlon, Inc.		
	T	EP 1124262 A2	08-16-2001	Sharp Kabushiki Kaisha		

Examiner
SignatureDate
Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.